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NASA Procedural Requirements

COMPLIANCE IS MANDATORY**NPR 3435.1B**Effective Date: March 05,
2008Expiration Date: March 05,
2013[Printable Format \(PDF\)](#)

Request Notification of Change

 (NASA Only)**Subject: NASA Performance Management System for the Senior Executive Service****Responsible Office: Office of Human Capital Management**[| TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [AppendixA](#) | [AppendixB](#) | [ALL](#) |

Appendix A. Definitions

A.1 Annual Summary Rating. See Performance Ratings.

A.2 Appraisal Period. The one-year period from October 1 through September 30 for which a senior executive's performance will be appraised and rated.

A.3 Balanced Measures. An approach to performance measurement that balances organizational results with the perspectives of distinct groups, including customers and employees.

A.4 Critical Element. A key component of a senior executive's work that contributes to organizational goals and results and is so important that unsatisfactory performance of the element would make the executive's overall job performance unsatisfactory.

A.5 Executive Position Managers (EPMs). Officials-in-Charge of Headquarters Offices (OICs) and Center Directors.

A.6 Minimum Appraisal Period. The minimum amount of time that a senior executive shall be under a performance plan before a rating may be assigned. This period is 120 days.

A.7 Outstanding Performance. The performance that substantially exceeds the normally high performance expected of any senior executive, as evidenced by exceptional accomplishments or contributions to the Agency's performance.

A.8 Performance Appraisal or Evaluation. The comparison of the actual performance of a senior executive against his/her performance expectations. Each executive's appraisal shall take into account appropriate assessments of the Agency's performance overall, and with respect to each of its particular missions, components, programs, policy areas, and support functions before an Initial Summary Rating is recommended.

A.9 Performance Expectations. The performance elements and performance requirements that constitute the senior executive's performance plan established for communicating what the executive is expected to do and the manner in which he/she is expected to do it.

A.10 Performance Management System. The policies, practices, and procedures the Agency has established for planning, monitoring, developing, evaluating, and rewarding both individual and organizational performance and for using resulting performance information in making personnel decisions.

A.11 Performance Plan. The written summary of work the senior executive is expected to accomplish during the appraisal period and the requirements against which performance is evaluated (i.e., performance expectations). The plan addresses all performance elements established for the senior executive.

A.12 Performance Requirement. A written statement of the performance expected for a performance element. Also called a performance standard, it is the expected result which is Specific, Measurable, Aggressive yet Achievable, Results-oriented, and Time-based (SMART) described in terms of clear, credible measures (e.g, quality, quantity, timeliness, and/or cost effectiveness).

A.13 Performance Review Board (PRB). A board required by law to make recommendations to the Administrator or

designee on the performance of senior executives. The Senior Executive Committee (SEC) serves as the PRB for PRB members and other executives reporting to the Administrator, including Center Directors and executives assigned to the Office of the Administrator.

A.14 Program Performance Measures. The results-oriented measures of performance, whether at the Agency, component, or functional level, which include, for example, measures under the Government Performance and Results Act of 1993 (GPRA).

A.15 Progress Review. A review of the executive's progress in meeting performance requirements. It is not a performance rating.

A.16. Performance Ratings.

a. Performance Element Rating. The rating assigned to each Critical Element in the performance plan.

b. Performance Summary Rating. The overall rating derived from the ratings of an executive's Critical Elements.

c. Initial Summary Rating. The overall rating level the supervisor proposes from appraising the senior executive's performance at the end of the appraisal period and forwards to the PRB. This is not an official/final rating until approved by the Administrator or designee.

d. Annual Summary Rating. The overall rating level that the Administrator or designee assigns at the end of the appraisal period after considering the PRB recommendation. This is the official/final rating.

A.17 Rating Official. The senior executive (usually the immediate supervisor) who is responsible for planning and communicating, monitoring, appraising, and rating the performance of a subordinate senior executive.

A.18 Relative Performance. The performance of a senior executive with respect to the performance of other executives, including their contribution to Agency performance, where appropriate, as determined by the application of a certified appraisal system.

A.19 Senior Executive Committee (SEC). See Performance Review Board.

A.20 Tier Position. A senior-level executive position established by the Agency based on position responsibility and scope and the impact of the executive's performance on the success of the NASA mission. There are three levels of Tier Positions differentiated by salary rates greater than Executive Level III. The Agency restricts the number of Tier Positions to approximately 25 percent of its senior executive positions with the expectation that the incumbents will continue to perform at an exceptional level and occupy a senior-level executive position.

| [TOC](#) | [Preface](#) | [Chapter1](#) | [Chapter2](#) | [Chapter3](#) | [Chapter4](#) | [AppendixA](#) | [AppendixB](#)
| [ALL](#) |

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